**Myanmar Engineering Council**

*Companies and Organizations Committee (COC)*

**Company Assessment Manual**

Consolidated Policy, Procedure and Guidelines

<table>
<thead>
<tr>
<th>DOC NO.</th>
<th>COC-PO-001</th>
</tr>
</thead>
<tbody>
<tr>
<td>REV.</td>
<td>03 (Approved Version)</td>
</tr>
<tr>
<td>DATE</td>
<td>19-Mar-2019</td>
</tr>
</tbody>
</table>
| APPD.   | Dr. Charlie Than  
President of MEngC |
| CHKD.   | COC Chairman; U Than Win |
| PRD.    | COC + Office team + Daw Thida Win |
Table of Contents

1. INTRODUCTION (Mission & Vision)
2. DUTIES & RESPONSIBILITIES
3. COMPANY ASSESSMENT POLICY
   3.1 Policy Purpose
   3.2 Policy Scope
   3.3 Company Assessment Requirements
   3.4 Application for Assessment
   3.5 Confidentiality of Information
   3.6 Assessment Program Fees
   3.7 Assessor Team
   3.8 Scheduling Site Visit
   3.9 Conduct Site Visit
   3.10 Assessment Certificate Award
   3.11 Assessment Certificate Maintenance
   3.12 Assessment Certificate Renewal
   3.13 Assessment Certificate Termination
4. CODE OF ETHICS AND STANDARDS OF CONDUCT
5. ASSESSMENT CRITERIA
   5.1 Areas for Assessment Evaluation
   5.2 Grading System
6. COMPANY ASSESSMENT RECOGNITION CERTIFICATE USE POLICY
7. ASSESSMENT DEFICIENCY AND APPEALS POLICY
APPENDIX - COMPANY ASSESSMENT PROCESS FLOWCHART
1.0 INTRODUCTION
The working committee for Assessment of Engineering & Construction Companies and Organizations (or) Companies and Organizations Committee (hereinafter referred to as COC) is a Built Assessment Body that was established by Myanmar Engineering Council Rules effective from 10 Oct 2014 with an aim to promote a regulatory and developmental framework in engineering field. The COC was delegated by the MEngC (Myanmar Engineering Council) to be the body for assessment and grading certification of engineering companies and organizations.

The COC is dedicated to providing the best practice assessment and benchmarking services for engineering and construction companies that drive measurable performance improvement. In support of its mission, COC develops, maintains, administers, and promotes a high-quality assessment program for the companies with new insight into how to implement specific best practice considering long term benefits for the public & society.

A COC grade is determined by the company’s financial capability and work capability (QA/QC & HRD plan inclusive) with respect to quality, health, safety, environmental and social performance. This enables the Private Sector and the Public Sector in general to access a contractor’s ability to undertake a respective project.

This Manual outlines consolidated policy, procedure and guidance on best practice assessment and benchmarking service offered by COC in accordance with Myanmar Engineering Council Rules, issued by memorandums dated 10 October 2014.

COC’s Mission and Vision:

Our Mission-
“To hold paramount the safety, health and welfare of the public”
Keeping strong engagement with COC’s certified engineering companies & organizations.

Our Vision-
“Contribute to the Society through best practices; assessment and benchmarking of the engineering companies & organizations proven to correlate consistently” with “High Quality Assurance Performance, full compliance of Ethical Conducts and HSE Norms”

2.0 DUTIES & RESPONSIBILITIES
The Companies and Organizations Committee (COC), representing MEngC shall be an independent body for the assessment of the residential and non-residential engineering companies and organizations. The members of COC shall be assigned by MEngC Executive Committee (EC) for a period of four years including total 15 members; self-nominated during first MEngC Council Conference. The COC Chair is selected and assigned within the MEngC EC.

All Members of COC shall be assigned by MEngC EC as follows:
Companies & Organizations Committee, MEngC
Company Assessment Manual

a) A Chairman (among EC members elected by MEngC Council Conference)
b) 14 members representing different major branches (e.g. Civil, Mechanical, Electrical, Chemical, Electronics, etc.) and each of the constituent organizations nominated by MEngC EC based upon members’ own selection proposals out of 8 working committees according to MEngC By-law.
The final decision for the membership of the COC is made by the MEngC EC in accordance with MEngC Law & By-law. All members shall be professional engineers.

The duties and responsibilities of COC are:
- to implement the assessment policy for companies and organizations stipulated by MEngC law and by-law for providing Professional Engineering Services within Myanmar Engineering Working Environment in line with ASEAN MRA 2005;
- to formulate guidelines and procedures for assessment, benchmarking and grading of engineering & construction companies and organizations,
- to perform recognition of operation by scrutinizing the operating local and foreign engineering & construction companies and organizations within Myanmar,
- to check legal obligation imposed on companies to ensure compliance with applicable laws and regulations; by having cross-reference within COC members and taking guidance from EC via COC Chairman whenever necessary
- to submit assessment outcomes summary together with case file references direct to MEngC Office Bearer (Available ONE out of President, 2 Vice-presidents, and 2 Secretaries) via COC Chairman for validation prior to approval of Grading from EC
- to announce our client’s grade and benchmark data in MEngC Website.
- to reply to the Ministry after scrutinizing in accordance with the permission of the Ministry of Construction whether works of the local and foreign consultant companies, engineering and technical companies, organizations, contractors and contract companies operating within Myanmar are consistent with the prescribed procedures, codes & standards and work elementary norms or not (i.e. Assurance of Professional Engineering Services to be in line ASEAN MRA (2005);
- to receive and detailed review on preliminary evaluation reports and findings by the Office Team, and decide on whether assessment should be granted, as well as the conditions to be imposed, if there is such a need;
- to respond to the MEngC EC on complaints and appeals regarding the assessment process;
- to report periodically to the MEngC Executive Committee (EC) on its work progress, guidance approval, certification, etc
- to request for cross-reference opinion from Disciplinary Committee when necessary.
3.0 COMPANY ASSESSMENT POLICY

3.1 Policy Purpose

This document establishes the Company Assessment Policy for the engineering companies and organizations in Myanmar to satisfy specific criteria and standards related to the company’s operations, programs, policies, and personnel. Each company receiving assessment recognition will be granted permission to use the COC Assessment Company Certificate Copy for reference in tendering process.

3.2 Policy Scope

The criteria and requirements contained in this Assessment Policy serve as the means for evaluating the financial capability, quality, and health, safety, environmental and social performance of companies. Each COC Certified Company must agree to abide by the terms and conditions in the Assessment Applicant Agreement, and comply with the requirements of this Policy.

3.3 Company Assessment Requirements

In order to be eligible for COC Company Assessment, an Applicant Company must satisfy the following requirements.

The Applicant Company must provide appropriate proof that the firm has been operating as an engineering consultant, construction or installation business in compliance with applicable laws and regulations governing business services and activities; and, the Applicant Company shall provide the below listed information;

1. Name of Company/Registration No./Certificate of Incorporation

2. Date of Establishment and Company’s Organization Chart

3. Memorandum of Incorporation - Board of Director List and CV

4. Location of the Company

5. Contact Phone No/Contact Email

6. Proven detail record of work experience for at least 3 years

7. Financial Information including Bank Guarantee and Complete Annual Audit Report for 3 years
   A. Capital
   B. Liabilities
   C. Assets
   D. Income Tax Report for 3 years
Applicant Tax Filing Requirements
The company must confirm that all required governmental tax filings have been completed and submitted to the appropriate tax agencies.

8. Applicant Company Personnel Qualifications Requirements. The Applicant Company must provide the following qualifications and/or training records of employees:
A. CV and Education Testimonials of Director/Technical Controller, Director/Coordinator
B. CV, Certificates of Professional Engineer (P.E)/Senior Licensed Architect (SLA) and Employment Contracts
C. CV, Certificates of Registered Senior Engineer (R.S.E)/Licensed Architect (LA) and Employment Contracts
D. CV, Certificates of Registered Engineer (R.E) and Employment Contracts

9. Applicant Company's Policies & Program Requirements
The Applicant Company must maintain the following programs and related written documents:

A. Quality Assurance Program: A quality assurance (QA) program, and a document explaining the program which is distributed to all company employees and customers, including all elements of the company's policies and quality assurance practices, QA/QC Track Records & Quality Management Manual. If ISO certified such as ISO 9001 Certificate and Responsible Person for Quality Assurance/Quality Control, QC records should be submitted.
Quality Policy which includes Quality standards which explain how the company will meet customers' needs and expectations.
Dispute resolution procedures which explain the process the company will use to resolve customer disputes and complaints. Warranty commitment terms, which explain the process used by the company to honour customer warranties for Engineering, Construction, Installation and Commissioning services.

B. Health, Safety and Environmental Program: A company environmental manual in accordance with environmental code of practices, health and safety manual, which establishes appropriate rules and procedures concerning workplace safety, including rules related to: the reporting of health and safety problems, injuries, and unsafe conditions; risk assessment & mitigations whenever necessary; and, first aid and emergency response. A company environmental policy, which explains how the company actively protects the environment.
C. Proven Track Records of Corporate Social Responsibility (CSR) Activity: A company community involvement policy, which explains how the company promotes community involvement, including donated services and charitable and sustainable contributions.

D. Machineries / Equipment list and Skilled Workers’ Certificates


Company must provide the following records of employees:
CV, Certificates of Skilled Technicians/Workers and Employment Contracts.

10. Previous Project-Related Records (Completion Reports, QC Reports)

The Applicant Company must maintain appropriate records of previous projects completed within the past 3 years including, but not limited to, accurate and complete records of financial information, Project Information, QC reports, Completion Reports, Completion Certificate, Handover Certificate, as-built drawings, product and service warranties.

11. Internal & External Training Plan, Training Records of HRD, HSE Programmes:

An employee manual or employee handbook, which identifies: employment policies and practices applicable to company personnel; and, a company code of conduct, which establishes minimum conduct standards, including responsibilities owed to the company, customers, and the public.

The following training requirements apply to all company employees:
A. At least six (6) hours of work-related training each year.
B. HSE training conducted by the company, including safety meetings/toolbox talks that should occur at least once per month. The company must record and maintain a list of all employees participating in the training, and a description of all materials covered during the training.

12. Other Data

MES Corporate Membership Certificate, MCEA Membership Certificate, Company Profile and other supporting documents reflecting Company’s image & reputation.

3.4 Application for Assessment

A residential company seeking assessment under this policy (Applicant) must submit a Complete COC Company Assessment Application Form. An Assessment Application Form is provided on the Myanmar Engineering Council Website, located at www.myanmarengc.org
Companies & Organizations Committee, MEngC
Company Assessment Manual

The applicant company must satisfy all requirements of the Policy guidelines as outlined in Appendix-2 to understand the qualifying requirements for Grade A-F and pay all applicable Assessment fees.

Upon receipt of an Assessment Application, COC will perform a preliminary review of the application and documents provided by the company and notify the Applicant Company of any deficiencies. The results of document review shall be recorded on formatted document review report form.

COC reserves the sole and exclusive right to engage in audit activities to ensure an Applicant’s compliance with the requirements of this Policy, request additional information; and, determine whether an Applicant has satisfied the applicable standards and requirements necessary for COC Company Assessment.

Following the rejection, denial, or withdrawal of an Assessment Application, the Applicant may reapply for assessment, unless such a reapplication has been prohibited by COC.

[Reference]
Application Form

3.5 Confidentiality of Information

The contents of all materials furnished for review purposes and discussion during the Committee meetings are considered privileged information. COC acknowledges that, as part of the assessment process, it will receive confidential and proprietary information of the Applicant, which includes information contained in the Assessment Application, company policies, and information or materials designated as such by the Applicant, or which would reasonably be considered confidential and private (Applicant Confidential Information).

The contents of those documents and the assessment actions taken may be disclosed only under appropriate circumstances (such as COC’s work flow process activities including communication with Engineering Companies and Organizations). All communications between Company and COC regarding final assessment actions must be referred to MEngC, COC headquarter.

COC will take reasonable measures to maintain the confidentiality of Applicant Confidential Information, including measures at least as protective as those it uses with respect to its own confidential information. Consequently, None Disclosure Agreement (NDA) shall be signed by all COC members and COC office staff just after formation of COC as a formality requirement.

According to Ethics & Conflict Of Interest (COI), any COC member shall declare the name of company/organization or the names of companies/organizations closely and actively associated with him/her to COC before the assessment process. He/She will not participate in any decision-making capacity regarding the assessment of such self-declared company or organization. COC will not, without the Applicant’s consent or a valid legal requirement: use Applicant Confidential Information for any purpose other than its review or disclose such
Companies & Organizations Committee, MEngC
Company Assessment Manual

confidential information to third parties or any employee, agent, or representative who does not have a valid business reason to review such confidential information. COC will release Applicant Confidential Information only when legally required to do so by a court or government agency order.

3.6 Assessment Program Fees
The MEngC Executive Committee will determine and establish all fees and charges related to the Company Assessment Program, which may be modified from time to time by COC. The COC’s Administration/Annual Registration Fees are defined in Appendix-2 Guidelines for Company Assessment System. In order to be processed and reviewed, an Assessment Application must be accompanied by the complete payment of all COC application fees and related charges, as set forth in Appendix-2. Assessment Application fees and charges are not refundable to the Applicant Company.

3.7 Assessor Team
For Assessment of Company’s Performance, the Assessor Team (i.e. COC’s assessment meeting) requires at least three COC members’ attendance. The Assessors must be Professional Engineers expertise in field of assessment and standing in their respective discipline of engineering. Method of evaluation shall include, review on documents submitted, auditing and confirmation of documents submitted by the Company and interview. The Assessor Team must be aware of Code of Ethics on Company Assessment as outlined in Section 4 of this manual. The Assessor Team independently consider the score based on Five Assessment Criterion set forth Section 5 in this Manual and provide advice on performance of the Company in accordance with Assessment Process. The assessors should be trained and certified in accordance with ISO 17024.

3.8 Scheduling Site Visit
COC’s assessor team shall schedule a site visit for a Company qualifying only for Grade-A. Site Visits are usually arranged prior to EC meeting. A visit is arranged and coordinated by the Company on an appropriate date suitable to both the Assessor Team and the respective Company. The Company requesting a site visit will need to notify COC at least two weeks before site visit. It is important that as far as possible, the agreed dates of visit are adhered to. A Travel Order must be issued by MEngC before site visit.

3.9 Conduct Site Visit
The purpose of the Site Visit is to assess and evaluate the safety management program, QMS and others operational practices against occupational health, safety and environmental criteria.

The visit shall include but not be limited to the following:
(a) Opening meeting with the Company’s representatives
(b) Meeting with site managers, engineers
Companies & Organizations Committee, MEngC
Company Assessment Manual

(c) Onsite inspection to evaluate the operational safety practices against certain criteria
(d) Meeting with external stakeholders such as employers and industry advisor
(e) Visiting and checking of facilities
(f) Checking relevant documents
(g) Exit meeting with Company’s representatives

After site visit, a summary report for site visit with recommendations and evaluation scores shall be submitted to Chairman of COC. The assessors’ recommendations are conditional based on quality, environmental occupational health and safety data and management policies and practices on site.

[Reference]
Company Site Visit Checklist (Record)

3.10 Assessment Certificate Award

COC is normally holding internal Committee meetings on weekly basis in order to review and assess the documents, and systematically identify shortcomings. The assessor team should analyze the gap and provide to fast, reliable and independent assessment report to support better decision making. The assessor team shall summarize assessment outcomes together with Chairman of COC. The advice of the assessor team and outcomes of assessment together with case files shall be presented direct to MEngC Secretary Team prior to submission to the Executive Committee (EC) Meeting for assessment approval decision. The EC meeting will be held on monthly basis. The Assessment approval decision will be announced after EC Meeting. The Company Assessment Recognition Certificate will be awarded during the nearest PE/RSE Conferment Ceremony.

3.11 Assessment Certificate Maintenance

A. Compliance with Legal Requirements: A Certified Company must comply with applicable laws and regulations governing business services and activities, as well as company policies required by this Policy.

B. Effective Period of COC Assessment: Company Assessment will remain in effect for a period of One year (with effect from the EC’s approval date) as long as the Certified Company satisfies the requirements of this Policy and other applicable COC policies, and pays all annual Assessment Program fees and charges in accordance with MEngC Law & By-law.

C. Document Review Audits: As a condition of Company Assessment, each Certified Company authorizes COC, or its authorized representative, to audit company activities and records related to the requirements of this Policy, and agrees to make available all requested personnel or records, consistent with applicable law.

D. Site Visit (Field Audit): As a condition of Company Assessment, each A-Grade Certified Company must accept onsite audit of the company’s project site to ensure continued compliance with the requirements of this Policy, at the company’s expense. These audits will be conducted by available group of COC members.
E. Use of Authorized COC Assessment Certificates: An authorized COC Assessment Certificate Copy may be used by an Certified Company in good standing as reference, consistent with COC policy requirements.

F. Termination or Suspension of Assessment: In the event that a COC Certified Company fails to satisfy the requirements of this Policy, or other applicable COC policies, assessment may be terminated, revoked, suspended, or conditioned, as determined by COC consistent with COC policies and in accordance with MEngC EC guidance decision and instruction.

G. Reporting of Company Modifications: All modifications of any aspect of the Certified Company relating to a requirement under the Company Assessment Policy, including, but not limited to, related changes in company operations, policies, personnel, or programs, must be reported to COC within sixty (60) days of such modification. To report such a company Modification, a Certified Company must complete and submit to COC, a Company Modification Form found in the Application Appendix located on the MEngC website at www.myanmarengc.org.

3.12 Assessment Certificate Renewal
A Certified Company may request renewal of its assessment by submitting a timely Renewal Application to COC. The Renewal Application must demonstrate that the Certified Company continues to satisfy all of the requirements and conditions set forth in this Policy, and any other requirements identified by COC. Among other conditions of assessment renewal, the Certified Company must:
1. Continue to satisfy, and be in compliance with, all COC standards;
2. Pay all Assessment Program fees and charges when due; and,
3. Demonstrate compliance with any other specific Assessment Program requirements, as required by COC.

3.13 Assessment Certificate Termination
A Certified Company may voluntarily terminate its assessment by providing written notice to the COC. The notice must state the effective date of the termination.

4.0 CODE OF ETHICS AND STANDARDS OF CONDUCT
MEngC, COC requires ethical conduct by each volunteer and staff member engaged in fulfilling the mission of MEngC, COC. The organization requires that every volunteer and staff member exhibit the highest standards of professionalism, honesty, and integrity. The services provided by MEngC, COC require fairness and equity. All persons involved with MEngC COC activities must perform their duties under the highest standards of ethical behavior.
It is the policy of MEngC, COC that information provided by the Engineering Companies & Organizations is for the confidential use of MEngC, COC and its assessment implementation personnel, and will not be disclosed without specific written authorization of the Engineering Companies & Organizations concerned.
Regardless of any other professional affiliation, the Code of Ethics and Standards of Conduct for COC Certified Companies (Code) applies to: the engineering companies that are certified by COC. The Code serves as the minimal ethical practice guidelines and enforceable conduct rules for the professional behavior of COC Certified Companies and Applicants for assessment as mentioned below in details,

A. Responsibilities relating to Legal Requirements
Each Certified Company and Applicant must:
- Comply with all applicable laws and regulations regulating business services and activities.
- Refrain from any behavior that violates legal codes & standards, including all civil and criminal laws, regulatory laws (such as Myanmar National Building Code).

B. Responsibilities to compliance with Organizational Policies
Each Certified Company and Applicant must:
- Act consistent with all applicable COC policies, standards, and requirements, including all Company Assessment Program policies.
- Provide accurate, truthful, and complete information to COC.
- Cooperate with COC concerning ethics and other policy matters including the submission of all required information in a complete and timely manner.
- Report to COC apparent violations of this Code of Ethics by Certified Companies and Applicants upon a reasonable and clear factual basis.

C. Responsibilities to Customers and the Public
Each Certified Company and Applicant must:
- Deliver competent and appropriate design, installation and related engineering services in a timely manner (i.e. Assurance of providing Engineering Professional Services to the Public in line with ASEAN MRA 2005).
- Recognize the company’s limitations related to the ability to deliver competent services, and provide services only when qualified. The Certified Company/Applicant is responsible for determining such limitations based on HRD training, experience, and other relevant considerations.
- Make a reasonable effort to provide appropriate referrals to qualified service providers when unable to provide competent engineering services.
- Maintain and respect the confidentiality of private and otherwise sensitive customer information obtained in the course of business activities, unless: the information is reasonably understood to pertain to unlawful activity; a court or governmental agency lawfully directs the release of the information; the customer expressly authorizes the release of specific information; or, the failure to release such information would likely result in serious physical harm to customers and/or the public.
Companies & Organizations Committee, MEngC
Company Assessment Manual

- Use occupational credentials properly, and provide truthful and accurate representations concerning qualifications, training, experience, competency, and the performance of engineering services.
- Provide truthful and accurate representations to customers, potential customers, and the public.
- Provide customers and potential customers with all necessary information concerning the nature of proposed engineering services, products, and the related costs and fees.
- Recognize and respect the intellectual property rights of others.
- Provide engineering services based on customer’s requests and needs, avoiding unnecessary and unauthorized services.
- Disclose to customers and potential customers significant circumstances that could be construed as a conflict of interest or an appearance of impropriety.
- Avoid conduct that could cause a conflict of interest with a customer or a potential customer.
- Follow all company safety, health and environmental procedures with respect to all engineering installation and related activities.

5.0 ASSESSMENT CRITERIA
5.1 Areas of Evaluation
The applicant company will be assessed and certified by the COC and the Company Grade is determined by the company’s financial capability, works capability, Quality assurance and HSE performance, CSR activity and company’s adherence to assessment policy. This enables the Public Sector, Private Sector and the Public in general to access eligibility for tender and a company’s ability to undertake a respective project.
COC developed standard assessment tools and check list to assess and score the company’s financial capability, infrastructure and maturity of company’s performance in Quality, Health, Safety and Environmental Management System. The tool facilitates grading the maturity of the five (5) key elements as defined in COC Performance Standard for Assessment and Grading of Company.
COC must thoroughly check each area of evaluation in accordance with a reference score rating system ; specified by COC and approved by EC according to MEngC Law and Bylaw (as shown in Table-5-1). This table is confidential and allowed to refer and use ONLY by MEngC COC members.
<table>
<thead>
<tr>
<th>No.</th>
<th>Performance</th>
<th>Criteria</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Financial Capability</td>
<td>(*)100 Marks</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Company's Project Management experience &amp; Quality Standards (*100 Marks)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Company's Environmental, Health and Safety Performance, QA/QC Control &amp; CSR Activities (*100 Marks)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Qualifications of Professional Engineers (*100 Marks)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Infrastructure &amp; Skilled Technicians/Workers (*100 Marks)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5.2 Grading System
The Company grade is determined by total assessment scores based on the following five (5) assessment tools.
1. Financial Capability; Capital, Liabilities, Assets, & Tax Payment -100 Marks
2. Company’s experience & Project Management Skills / Quality -100 Marks
3. Company’s HSE manuals, CSR Activities, & Certificates -100 Marks
4. Organization’s Competence-Qualifications of Engineers -100 Marks
5. Infrastructure; Machineries & Certified Skilled workers -100 Marks

The company will be graded as per Table 5.1 and the outcome of assessment and Company Grade shall be reported by COC Assessor Team.

<table>
<thead>
<tr>
<th>Score</th>
<th>GRADE</th>
<th>Annual Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>401-500</td>
<td>A</td>
<td>2,500,000</td>
</tr>
<tr>
<td>351-400</td>
<td>B</td>
<td>2,000,000</td>
</tr>
<tr>
<td>301-350</td>
<td>C</td>
<td>1,500,000</td>
</tr>
<tr>
<td>251-300</td>
<td>D</td>
<td>1,000,000</td>
</tr>
<tr>
<td>200-250</td>
<td>E</td>
<td>500,000</td>
</tr>
<tr>
<td>Less than 200</td>
<td>F</td>
<td>300,000</td>
</tr>
</tbody>
</table>

[Reference]
Assessment Report
6.0 COMPANY ASSESSMENT RECOGNITION CERTIFICATE USE POLICY
The following assessment & recognition certificate related to the COC Assessment Program is owned and controlled by MEngC (Sample Certificate to be attached hereafter):

THE REPUBLIC OF THE UNION OF MYANMAR
MYANMAR ENGINEERING COUNCIL
REGISTRATION FOR RECOGNITION OF ENGINEERING COMPANIES AND ORGANIZATIONS

THIS IS TO CERTIFY THAT PURSUANT FOR REGISTRATION ACCORDING TO MYANMAR ENGINEERING COUNCIL LAW 2013

Company Limited
IS DULY RECOGNIZED AS THE Engineering Company,
GRADE (-)
VALID UNTIL 31st DECEMBER 2019

IN THE REPUBLIC OF THE UNION OF MYANMAR AND IS ENTITLED TO ALL THE RIGHTS AND PRIVILEGES CONFERRED IN SAID LAW.

Certificate No. : 00-- Date of Issue : 1-1-2019

REGISTRAR PRESIDENT
Engr. Prof. Dr. Charlie Than

This Certificate is the property of the Myanmar Engineering Council and is returnable on request. It is valid only for so long as the holder remains on the Myanmar Engineering Council's Register.
Each Certified Company may use the COC Assessment & Recognition Certificate on business related materials, including, but not limited to, advertisements or internet websites, consistent with the following rules:

A. **Proper Use**
   Each Certified Company must use the Assessment & Recognition Certificate only in conjunction with the company certified by COC.

B. **Non-Transferability of the Assessment Certificate**
   Permission to use a COC Assessment & Recognition Certificate is limited specifically to the Certified Company, and may not be transferred to, assigned to, or otherwise used by, any other person, organization, business, or entity.

C. **Policy Violation and Misuse of Assessment Certificate**
   A Certified Company has the responsibility to report the unauthorized use, misuse, or other violation of this Policy to COC in a timely manner, including any circumstances where: the use of a Assessment & Recognition Certificate is related to a company that is not certified by COC, including an Applicant for Company Assessment; or, an Assessment & Recognition Certificate is used improperly by a Certified Company.
   COC reserves, and may use, the full range of legal remedies and assessment-related sanctions available under applicable laws and corporate policies to protect the Assessment & Recognition Certificates. Infringement of any Assessment & Recognition Certificate, or improper use of an Assessment & Recognition Certificate, will be challenged.
   Certified Companies and Applicants for Company Assessment are required to cooperate fully in the review and resolution of such matters. Following receipt of information that an inappropriate or unauthorized use of an Assessment & Recognition Certificate may have occurred, COC will determine if responsive action(s) will be taken in accordance with this Policy and applicable laws.

### 7.0 ASSESSMENT DEFICIENCY FINDINGS AND APPEAL POLICY

This Appeals Policy (Appeals Policy) establishes the process by which the Committee will review and resolve all matters involving: a possible failure of a COC Certified Company to satisfy a requirement of the Company Assessment Policy; a complaint received by COC concerning the Certified Company; and, any other dispute related to the Company Assessment Program.

#### A. Non-conformance Report for Potential Assessment Deficiency Findings
   The Chairman of COC or his/her designee will issue a Non-conformance Report (NCR) to an Certified Company under such circumstances which include, but are not limited to, the following:
   - A Certified Company violates, or acts contrary to, the Company Assessment Policy;
   - A Certified Company fails to comply with a condition of COC Company Assessment;
Companies & Organizations Committee, MEngC  
Company Assessment Manual

- An Assessment Application, Renewal Application, or Company Modification Report Form contains a material misrepresentation.
- A Certified Company makes a material misrepresentation concerning its activities and/or services, including public misrepresentations related to the Company Assessment Policy;
- A Certified Company fails to remit required Assessment Program fees and charges to COC; or other good and reasonable cause exists and supports the issuance of sanctions or corrective actions under this Policy.

B. Response to Deficiency Notice or Non-conformance Report
Within thirty (30) days of the mailing date of a Non-conformance Report, the Certified Company must: respond to each identified deficiency; provide all relevant information and materials; and, otherwise satisfy all requirements set forth in the Nonconformance Report (NCR). In the event that the Certified Company does not provide a timely, complete, and accurate response to a severe case of NCR which violates the laws and regulations, the COC must refer the case to Disciplinary Committee and Disciplinary Committee may issue any sanction(s) or corrective action(s) authorized by EC's decision.

C. Appeal Review & Actions
Disciplinary Committee will conduct a preliminary review of an Assessment Deficiency Decision appeal, including the collection and consideration of all relevant information and materials submitted by the Certified Company.
Following such review, the Disciplinary Committee may take any of the following actions:
  a) Require that the Certified Company provide relevant documents or information necessary to consider and resolve the appeal;
  b) Request other parties to provide information relevant to the Assessment Deficiency appeal; or,
  c) Issue a formal resolution of the appeal, which will include a written Appeal Committee Decision (Committee Decision), which: include any appropriate corrective or remedial action(s), and/or disciplinary sanction(s).

D. Appeal Decision
Based on an objective and complete review of the information received, the Chairman of Disciplinary Committee, in his/her sole discretion, will determine whether a Company Assessment Policy deficiency exists, or whether the Deficiency Notice will be dismissed. Upon the finding of a deficiency, the Disciplinary Committee will determine the severity of such deficiency(ies), and issue an Assessment Deficiency Decision in the earliest EC meeting. The Disciplinary Committee may issue one or more of the following actions:

I. Continued Company Assessment with conditions.
Companies & Organizations Committee, MEngC
Company Assessment Manual

II. Assessment Probation. The term of Company Assessment probation will be for a period of at least three to six (3 to 6) months, and a maximum of (12) months. Following the expiration of a final probation order, the Executive Committee will determine if the Certified Company has satisfied the terms of probation in full, and verify that the probation has been completed. If an Certified Company satisfies all probation terms, it will be reinstated to full Assessment status. If the Certified Company has not satisfied the terms of probation in full, the Executive Committee will determine whether the probation order will continue, and/or issue additional, appropriate sanctions or conditions.

III. Assessment Suspension. The term of a Company’s Assessment suspension will be for a period of at least three to six (3 to 6) months, and a maximum of twelve (12) months. During the suspension period, the Company may not use any Company Assessment & Recognition Certificate, or represent itself as being certified by, or affiliated with, COC. After a final Suspension Order issued under this Policy has expired, a Company may submit a Request for Assessment Reinstatement to the Executive Committee (Reinstatement Request), pursuant to this Policy.

IV. Assessment Cancellation. Following cancellation of a COC assessment, a Company may re-apply for assessment after at least one year following the date of the final revocation by submitting a Reapplication Petition pursuant to this Policy.

E. Reapplication Petition Review.
Reapplication Petitions must include a statement of the reasons the Company believes the Reapplication Petition should be granted, including the reasons that the Company should now receive, or be eligible for, assessment; and, copies of any relevant materials which the Company relies on to support its Request or Petition.
Within ninety (90) days after a complete Reapplication Petition is submitted, or as soon after as is practical, the Executive Committee will review the Requestor Petition with recommendation of Disciplinary Committee. During EC meeting, the Chairman of EC will review the information presented by the Company, and any other relevant information, and determine the final outcome of the Request or Petition by majority vote.

F. Reapplication Petition Decisions
Within thirty (30) days after completion of its review of a Reapplication Petition, or as soon as is practical, the Executive Committee will prepare and issue a Decision and Order concerning the Request or Petition. The final Decision will indicate whether the Request or Petition is granted, denied, or continued to a later date.

[Reference]
Non-conformance Report Form
Companies & Organizations Committee, MEngC
Company Assessment Manual

APPENDIX-1
COMPANY ASSESSMENT PROCESS FLOWCHART

Identify necessity for Company Assessment

→ Apply for Company Assessment at COC and submit required documents

→ Review, verify & validate the Company's documents in accordance with criteria

→ Submit to COC for checking of suitability and Compliance Assessment based on Company's Performance & followed by Meeting with Company representatives & additional documents submission within 2-3 weeks as per company’s request

Note: Site Visit for Grade A Company

→ Validation from MEngC Office Bearer (ONE out of President, 2 VPs, and 2 Secretaries) with ref case files prior to EC’s Approval

→ Submission of assessment outcomes to EC for final approval

YES

MEngC’s Recognition Award (One year validity)

Assessment Certificate Maintenance & Renewal

NO